



Circular

National Stock Exchange Of India Limited

DEPARTMENT : INSPECTION	
Download Ref. No.: NSE/INSP/49227	Date : August 09, 2021
Circular Ref. No.: 40/2021	

To All Members,

Sub: Uniform formats for Internal Audit Report and Risk Based Supervision (RBS) across Exchanges

This has reference to the formats for submission of Internal Audit Report and Risk Based Supervision (RBS)

To simplify the submission process and ensure uniform formats across Exchanges for respective segments, the formats for Internal Audit Report and Risk Based Supervision (RBS) submissions have been unified, under the guidance of SEBI and in consultation with other Exchanges. Accordingly, the formats of Internal Audit Reports and Risk Based Supervision are attached as Annexure A and B respectively.

Standardization of aforesaid reports is done based on formats applicable for the half-year ended March 31, 2021 and is subject to modification every half-year considering the regulatory changes by SEBI/Exchanges. Further, the applicability of relevant points in uniform formats for both the above submissions have been broadly categorized in Annexure A & B.

The updated format of Internal Audit Report and Risk Based Supervision (RBS) – information submission for the half-year ending September 30, 2021, along with relevant guidelines and annexures, shall be communicated through a separate circular.

Members may kindly note that the submissions w.r.t above reports for half-year ended March 31, 2021, shall be made, in formats prescribed vide Exchange circulars NSE/INSP/48048 dated April 20, 2021 and NSE/INSP/47935 dated April 07, 2021.

All the members are requested to take note of the same.

**For and on behalf of
National Stock Exchange of India Limited**

**Harinatha Reddy M
Senior Manager-Inspection**

Enclosed:

Annexure A – Uniform format of Internal Audit Report

Annexure B – Uniform format of Risk Based Supervision (RBS) - Submission of information

In case of any clarifications, Members may contact our below offices:

Regional Office	E MAIL ID
Ahmedabad (ARO)	inspectionahm@nse.co.in
Chennai (CRO)	inspection_cro@nse.co.in
Delhi (DRO)	delhi_inspection@nse.co.in
Kolkata (KRO)	inspection_kolkata@nse.co.in
Mumbai(WRO)	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in